<div align="center">**Sample Chapter Format**</div>

Instructions: Follow format below and replace information within brackets {} according to your specific chapter. Insert header on each page and section headings and content as appropriate.

NIH MANUAL {chapter number}   **Page {1}**
DATE: {MM/DD/YY}
REPLACES: {}
ISSUING OFFICE: {Organization ACRONYM} {phone number}

<div align="center">**{CHAPTER TITLE}**</div>

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A.PURPOSE:

B.BACKGROUND:

C.POLICY:

D.REFERENCES:

E.DEFINITIONS:

F.RESPONSIBILITIES:

G.PROCEDURES:

H.RECORDS RETENTION AND DISPOSAL: All records (e-mail and non-e-mail) pertaining to this chapter must be retained and disposed of under the authority of NIH Manual 1743,"Keeping and Destroying Records, Appendix 1, "NIH Records Control Schedule," Item {insert as appropriate or check with your IC Records Officer.}

<u>NIH e-mail messages.</u> NIH e-mail messages (messages, including attachments, that are created on NIH computer systems or transmitted over NIH networks) that are evidence of the activities of the agency or have informational value are considered Federal records. These records must be maintained in accordance with current NIH Records Management guidelines. Contact your IC Records Officer for additional information.

All e-mail messages are considered Government property, and, if requested for a legitimate Government purpose, must be provided to the requester. Employees' supervisors, NIH staff conducting official reviews or investigations, and the Office of Inspector General may request access to or copies of the e-mail messages. E-mail messages must also be provided to Congressional oversight committees if requested and are subject to Freedom of Information Act requests. Since most e-mail systems have back-up files that are retained for significant periods of time, e-mail messages and

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attachments are likely to be retrievable from a back-up file after they have been deleted from an individual's computer. The back-up files are subject to the same requests as the original messages.

I. MANAGEMENT CONTROLS: The purpose of this manual issuance is to {you describe the purpose}.

(1) Office Responsible for Reviewing Management Controls Relative to this Chapter (you must insert the name of the issuing office):

{You list the issuing office and any other offices that will share responsibility for coordinating the review procedure to ensure appropriate management controls are in place for the chapter. If an office outside of the issuing office is given responsibility for reviewing management controls, the issuing office must have documentation of the other office's concurrence.}

(2) Frequency of Review (in years):

{You state how often the review will be required. This will be dependent on the level of risk posed if the chapter were not accurately followed (generally between 1-5 years). The preferred option is to have controls "built into" automated systems so there is an ongoing control/reporting capability. (The issuing component should confer with DQN in developing the review schedule.)}

(3) Method of Review:

{You determine the type of review that most appropriately provides the program area the necessary documentation to show that the ICs are generally in compliance with manual chapter.}

Type of Review (you describe): [For example, an issuing component may decide to initiate an internal Risk Assessment (RA). If the findings of the RA were low risk, a 3-5 year follow-up review would be appropriate. However, if the findings indicated a medium or high risk, a 1-2 year follow-up review would be appropriate. Again, the preferred review option is to have controls built into automated systems, such as the NIH Business and Research Support System, so there is an ongoing review of the ICs compliance with the chapter. Reviews conducted should include a small sample of IC activities related to the

chapter to ensure they are in compliance. When appropriate, reviews conducted by the OIG/GAO or program area may be used as an alternative management control review. Issuing components should confer with DQM for additional guidance.]

(4) Review Reports are sent to:

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{Reports are sent to the NIH senior official responsible for the area covered by the chapter, i.e., Deputy Director for Management (DDM) for management/general administration, Deputy Director for Extramural Research (DDER) for extramural research, Deputy Director for Intramural Research (DDIR) for intramural research, NIH Chief Information Officer for information technology policy, NIH Deputy Chief Finance Officer for finance and travel policy, and Director of Human Resources, NIH, for human resource policy. A copy of all review reports must also be forwarded to the DDM. If a chapter review covers more than one of these areas, a copy must be sent to the senior official for each of these areas.}